

N A T I O N A L

E N D O W M E N T

F O R T H E

H U M A N I T I E S

Office of Challenge Grants

Extending the Reach:

Institutional Grants
to Historically Black,
Hispanic-Serving,
and Tribal Colleges
and Universities

APPLICATION DEADLINES:
June 1, 2000 and
June 1, 2001

**APPLICATION DEADLINES FOR EXTENDING THE REACH:
Institutional Grants to Historically Black, Hispanic-Serving,
and Tribal Colleges and Universities**

Deadline	Notification	Projects Beginning
June 1, 2000	December 2000	January 1, 2001
June 1, 2001	December 2001	January 1, 2002

Send applications to:

Extending the Reach: Institutional Grants
Office of Challenge Grants
National Endowment for the Humanities
1100 Pennsylvania Avenue, N.W., Room 420
Washington, DC 20506

Telephone: 202/606-8309
E-mail address: challenge@neh.gov

NEH will not accept applications sent by FAX machine or e-mail.

NEH information, guidelines, and forms are also available on the Internet
at <http://www.neh.gov>.

Table of Contents

Application Deadlines	Inside Front Cover
The National Endowment for the Humanities	2
Extending the Reach	3
Extending the Reach: Institutional Grants	4
Goals of the Program	4
Eligibility	4
Uses of Grant Funds	4
Grant Period	5
Amount of Awards	5
Examples of Eligible Projects	5
Review of Applications	6
Criteria for the Evaluation of Applications	6
Grantee Responsibilities	7
Preparing an Application	8
What Help Is Available?	8
The Application	8
Instructions for Completing the Application Cover Sheet	10
Application Cover Sheet	13
Field of Project Categories and Codes	14
Budget Form and Instructions	16
Institutional Fact Sheet	23
Certifications	25
Customer Service Standards	28
Application Checklist	Inside Back Cover
Equal Opportunity Statement	Inside Back Cover

WELCOME TO THE NATIONAL ENDOWMENT FOR THE HUMANITIES

“Democracy demands wisdom and vision in its citizens”—National Foundation on the Arts and the Humanities Act of 1965

THE NATIONAL ENDOWMENT FOR THE HUMANITIES

In order “to promote progress and scholarship in the humanities and the arts in the United States,” Congress enacted the National Foundation on the Arts and the Humanities Act of 1965. This act established the National Endowment for the Humanities as an independent grant-making agency of the federal government to support research, education, and public programs in the humanities.

The Humanities

The act that established the National Endowment for the Humanities says “The term ‘humanities’ includes, but is not limited to, the study of the following: language, both modern and classical; linguistics; literature; history; jurisprudence; philosophy; archaeology; comparative religion; ethics; the history, criticism, and theory of the arts; those aspects of social sciences which have humanistic content and employ humanistic methods; and the study and application of the humanities to the human environment with particular attention to reflecting our diverse heritage, traditions, and history and to the relevance of the humanities to the current conditions of national life.”

Organization of the Endowment

Grants are made through four divisions (Education Programs, Preservation and Access, Public Programs, and Research Programs) and two offices (Challenge Grants and Federal/State Partnership).

Presidential Directives

The National Endowment for the Humanities participates in three government-wide Presidential Directives. Executive Order 12876 mandates federal efforts to help strengthen and ensure the long term viability of the nation’s Historically Black Colleges and Universities, Executive Order 12900 mandates federal efforts on behalf of educational excellence for Hispanic Americans, and Executive Order 13021 mandates increased accessibility of federal resources for Tribal Colleges. The NEH encourages applications that respond to these Presidential Directives.

As a special response to these Presidential Directives, the NEH has instituted two new grant programs under the general heading Extending the Reach that are intended to strengthen the humanities at Historically Black, Hispanic-Serving, and Tribal Colleges and Universities. One will support institutional initiatives and the other faculty research grants.

EXTENDING THE REACH

Extending the Reach is a new series of funding opportunities designed to spread the support of the National Endowment for the Humanities to selected jurisdictions and constituencies throughout the United States. The guidelines in this booklet describe Extending the Reach: Institutional Grants to Historically Black, Hispanic-Serving, and Tribal Colleges and Universities.

In addition NEH also offers special support for humanities research and scholarship at Historically Black, Hispanic-Serving, and Tribal Colleges and Universities. Extending the Reach: Faculty Research Grants provide up to \$24,000 to support individual faculty members or groups of faculty members engaged in humanities research. The annual application deadline for Extending the Reach: Faculty Research Grants is April 10. For more information, contact the NEH Division of Research Programs, 1100 Pennsylvania Avenue, NW, Washington, D.C. 20506; (202) 606-8200 or er-facultyresearch@neh.gov.

During 2000 and 2001, the NEH also will be offering Extending the Reach grants to support humanities initiatives in the following jurisdictions :

Alabama	Alaska	Florida	Idaho
Louisiana	Montana	Missouri	Nevada
North Dakota	Ohio	Oklahoma	Puerto Rico
Texas	Washington	Wyoming	

Information about these Extending the Reach grants to selected jurisdictions may be obtained from:

Public Information Office
National Endowment for the Humanities
1100 Pennsylvania Avenue, N.W.
Washington, D.C. 20506
202/606-8400 or 800/NEH-1121
E-mail: info@neh.gov
<http://www.neh.gov>

EXTENDING THE REACH: Institutional Grants to Historically Black, Hispanic-Serving, and Tribal Colleges and Universities

Goals of the program

Extending the Reach Institutional Grants enrich the humanities at Historically Black, Hispanic-Serving, and Tribal Colleges and Universities by improving their ability to teach, conduct research, and support learning at the undergraduate level and throughout life. The grants may also better prepare recipients to gain future access to federal funds available for the support of these activities.

Extending the Reach Institutional Grants invite colleges and universities to undertake projects that build on and strengthen their existing institutional resources. Grants may enhance the humanities in an existing program or they may foster experimentation and new programs.

Eligibility

Extending the Reach Institutional Grants are offered to Historically Black, Hispanic-Serving, and Tribal Colleges and Universities, as designated by the White House offices charged with the implementation of Executive Orders 12876, 12900, and 13021. Eligible institutions are welcome to collaborate with other organizations, but the project director and the institutional applicant must be drawn from the group of eligible institutions. If you are unsure of your institution's eligibility please check the web site of the U. S. Department of Education at <http://www.ed.gov/offices/OCR/2000minorityinst.html>.

Uses of Grant Funds

Grants from this program may:

- provide scholarly humanities consultants who can assist institutions seeking to enhance and redefine humanities programs;
- support faculty members as they collaborate to strengthen humanities programs;
- enhance humanities programs by building ties among institutions of higher learning, among institutions of higher learning and secondary schools, or among institutions of higher learning and museums, libraries, historical and cultural societies, or other humanities organizations;

- prepare institutions to develop new humanities programs, or take advantage of underused resources; or
- provide needed library materials, computer software and hardware for the enhancement of humanities activities, and training for staff and faculty members in the use of humanities materials and technologies.

Grant funds should not merely replace funds already being expended on the humanities but instead should serve to augment and improve the institution's activities in and commitment to the humanities.

Amount of Awards

Awards will be given up to \$25,000. The requested amount should be appropriate to the proposal. Where the Endowment determines that an application merits support only in part or at a reduced level, the offer will be less than the amount requested. Constraints on NEH funding may also affect the amount that can be offered.

Examples of Eligible Projects

The following examples are illustrative only and suggest the range of content and goals appropriate for submission of a project.

* A Historically Black College that has recently established professorships in history and literature seeks an Extending the Reach grant. It uses grant funds to hold a faculty retreat to plan new curricular offerings and to acquire new computer software and library materials. The agenda for the retreat includes an investigation into the feasibility of larger-scale transformations in the college's humanities core requirements.

* A southwestern university that enrolls a significant number of Hispanic students seeks to add readings in contemporary Latin American fiction to its courses in Spanish language and literature in translation. Extending the Reach grant funds support faculty members as they meet with leading national scholars of Latin American literature over a two-week period to prepare curricula. The funds also purchase selected texts for the institution's library.

* A tribal college uses a grant to increase its electronic media collection of American Indian materials to connect to the state's interlibrary loan system, and to integrate data from these sources (along with archival materials owned by the tribe) into its humanities curricula. Results of these efforts will be used to

enhance the college's web site and to support an expanded program of distance learning in the humanities.

Review of Applications

Each application is evaluated by knowledgeable persons outside the agency, who are asked to judge the quality and significance of the proposed project. Panelists represent a diversity of disciplinary, institutional, regional, and cultural backgrounds. The judgment of panelists may be supplemented by individual reviews solicited from specialists who have extensive knowledge of the specific subject or technical aspects of the application under review.

The advice of evaluators is assembled by the staff of the Endowment, who comment on matters of fact or on significant issues that would otherwise be missing from the review. These materials are then presented to the National Council on the Humanities, which makes recommendations for awards to the Chairman of the NEH, who by law makes the final decisions about funding.

Criteria for the Evaluation of Applications

Applications will be judged on the basis of the following criteria:

- the quality of planned activities and the potential of these activities to strengthen the humanities at the institution;
- the ability of the institution to carry out the proposed plan;
- the qualifications of project leaders and consultants; and
- the cogency of the plan to evaluate the results of the project.

GRANTEE RESPONSIBILITIES

Before any work is done in developing a proposal, the project director and the authorizing official of the applicant institution should review the following section on grantee responsibilities to determine if their institution is able to comply with these requirements. The authorizing official is also advised to review the material on certifications in the appendix to this brochure before signing Block 12 of the application cover sheet.

The grantee organization is required to

- have a sound financial management system that records separately within its general accounting system the receipt and disbursement of grant funds and cost sharing contributions and that monitors the expenditure of these funds against the approved budget;
- carry out project activities in accordance with the workplan provided in the approved application—changes in key project personnel, project scope or design, or in the arrangements to contract out project activities must be submitted to NEH in advance for review and approval;
- have in place a written organizational prior approval system for review and approval of all grant actions and expenditures that the grantee institution is delegated authority to approve;
- maintain adequate documentation of the time spent by all project personnel on grant activities;
- have an audit performed that meets the requirements of Office of Management and Budget Circular A-133 whenever \$300,000 or more in federal funds is expended during a fiscal year;
- ensure that all procurement transactions are conducted in a manner that provides, to the maximum extent practical, open and free competition; and
- acknowledge NEH support in all materials publicizing or resulting from grant activities.

PREPARING AN APPLICATION

What Help Is Available?

Prospective applicants are encouraged to consult with an NEH program officer in the planning and preparation of Extending the Reach projects. Consultation should begin as early as possible.

The submission of draft applications is encouraged and is offered as a service to help strengthen applications. This preliminary review is not part of the official review process. Drafts should reach the NEH at least six weeks before the application deadline so that staff may offer comment or counsel by telephone, e-mail, or letter.

Instructions for Preparing a Proposal

The application consists of seven major components:

- 1. Application Cover Sheet** (see form, page 13)
- 2. Institutional Fact Sheet** (see form, page 23)
- 3. Narrative statement:** no more than eight typed, double-spaced pages that describe the purpose of the project and address the evaluation criteria listed on page 6. Topics covered in the narrative statement should include:
 - goals for the project;
 - description of the activities to be supported by the grant;
 - the relationship of these goals and activities to the mission of the institution;
 - related activities that will help fulfill these goals;
 - planned use of consultants, if any;
 - descriptions of institutional programs that will be supported by grant-funded acquisitions, if appropriate; and a
 - description of the evaluation plan.

4. Budget form (see instructions, page 16). Requests for the acquisition of materials or equipment should include a complete list of the items to be purchased with grant funds. Equipment costing less than \$5,000 should be listed under Supplies, and over \$5,000 under Other Costs.

5. Project director's résumé

6. Appendices. Possible appendices include brief (two-page) résumés and letters of commitment from key personnel, work plan, and acquisitions lists (if applicable). Letters should document support for the goals of the project and commitment to implementing the results.

7. Copy of institution's current catalog

The application should include all of the items listed above and those also listed on the **Application Checklist** (see inside back cover). Because applications are mailed to panelists, applicants should not use covers, notebooks, or other methods of binding that add unnecessary weight to these documents. Please clip, rather than staple, application pages together.

The Office of Management and Budget requires federal agencies to supply information on the time needed to complete forms and also to invite comments on the paper-work burden. NEH estimates the average time to complete this application is eight hours per response. This estimate includes the time for reviewing instructions, gathering the necessary data, and completing the application. Please send any comments regarding the estimated completion time or any other aspect of this application, including suggestions for reducing completion time, to the Director of the Office of Publications, National Endowment for the Humanities, Washington, D.C. 20506; and to the Office of Management and Budget, Paperwork Reduction Project (3136-0134), Washington, D.C. 20503. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

INSTRUCTIONS FOR COMPLETING THE NEH APPLICATION COVER SHEET

Block 1--Project Director

Item a. Enter the name, title, and mailing address of the person who will carry out the project or be chiefly responsible for directing the humanities activities to be supported by the grant. This person's résumé should be included as part of the application. (Information about the institution also is requested in Blocks 2 and 11.)

Item b. In the space provided, enter the number corresponding to the project director's preferred form of address:

- 1-Mr. 3-Miss 5-Professor
2-Mrs. 4-Ms. 6-Dr.

Item c. Enter the project director's e-mail address and full telephone number with area code and, if applicable, extension. Whenever possible, one of the telephone numbers listed should be a number at which a message can be left.

Block 2--Type of Applicant

Item a. Identify Type, such as: educational (2-year college, 4-year college, etc.).

Item b. Identify Status as either Private Nonprofit or Unit of State or Local Government.

Block 3--Type of Application

This information is preprinted on the form.

Block 4--Program to Which Application Is Being Made

This information is preprinted on the form.

Block 5--Requested Grant Period

Enter the requested information on the cover sheet. The start date must be on or after January 1, and the grant may support full-time or part-time activities for up to three years.

Block 6--Project Funding

Enter here the appropriate figures from the project budget that is part of your application. For Extending the Reach: Institutional Grants, the "Total from NEH" may not exceed \$25,000.

Block 7--Field of Project

Fields are listed on the reverse side of the NEH Application Cover Sheet. Where multiple fields are involved, use U 8, "Humanities in General."

Block 8--Descriptive Title of Project

The humanities activities to be supported by the grant should be described here. Examples: Humanities Consultations to Support a New Curriculum; Faculty Study of Core Subjects in the Humanities; Feasibility Studies for a New Humanities Initiative; Library Acquisitions in Humanities Disciplines.

Block 9--Description of Project

Provide a brief description of the proposed project. Mention the major needs in the humanities that the project is designed to meet, and the activities that will address these needs. Do not exceed the space provided.

Block 10--Will This Proposal Be Submitted to Another Government Agency or Private Entity for Funding?

If "Yes," indicate the agencies or entities to which it will be submitted.

Block 11--Institutional Data

Item a. Indicate the name of the institution and the city and state of its official mailing address.

Item b. Enter the institution's employer identification number.

Item c. Indicate the name and title of the person who is authorized to submit the application on behalf of the institution or organization and to provide the certifications required in Block 12. This person is usually someone other than the Project Director.

Item d. Indicate the name, mailing address, form of address (see instructions for Block 1b), and telephone number of the person who will be responsible for the financial administration of the grant if an award is made. For example, at many universities the provost, vice president, president, or chancellor is the person "authorized" to submit an application (see item c), but the actual administration of the project--such as, negotiating the project budget and ensuring compliance with the terms and conditions of the award--is the responsibility of a grants or research officer. It is the latter person who should be listed here.

Block 12--Certification

The Endowment is required by government-wide regulations to obtain from all applicants certifications regarding federal debt status, debarment and suspension, and a drug-free workplace. Institutional applicants are required to certify that they will comply with the nondiscrimination statutes. These certifications, which appear in the Appendix to the guidelines, should be read before Block 12 of the application cover sheet is signed. More information on these certifications is available from the NEH web site, <http://www.neh.gov>, or from the NEH Grants Office, Room 311, Washington, D.C. 20506, (202) 606-8494.

Privacy Act. This information is solicited under the authority of the National Foundation on the Arts and Humanities Act of 1965, as amended, 20 U.S.C. 956. The principal purpose for which the information will be used is to process the grant application. The information may also be used for statistical research, analysis of trends, and Congressional oversight. Failure to provide the information may result in the delay or rejection of the application.

OMB No. 3136-0134
Expires: 6/30/03

<div style="background-color: black; color: white; padding: 2px; font-weight: bold;">1</div> Project director a. Name and mailing address: <div style="border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="display: flex; justify-content: space-between; font-size: small;"> (last) (first) (initial) </div> <div style="border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="display: flex; justify-content: space-between; font-size: small;"> (city) (state) (zip code) </div> b. Form of address: _____ c. Telephone numbers: Office: _____ / _____ Home: _____ / _____ <div style="display: flex; justify-content: space-between; font-size: x-small;"> (area code) (area code) </div> FAX: _____ / _____ Email: _____ <div style="display: flex; justify-content: space-between; font-size: x-small;"> (area code) </div>	<div style="background-color: black; color: white; padding: 2px; font-weight: bold;">2</div> Type of applicant a. Type b. Status <hr/> <div style="background-color: black; color: white; padding: 2px; font-weight: bold;">3</div> Type of application New <hr/> <div style="background-color: black; color: white; padding: 2px; font-weight: bold;">4</div> Program to which application is being made Extending the Reach: Institutional Grants to Historically Black, Hispanic-Serving, and Tribal Colleges and Universities <div style="background-color: black; color: white; padding: 2px; font-weight: bold;">5</div> Requested grant period From: _____ To: _____ <hr/> <div style="background-color: black; color: white; padding: 2px; font-weight: bold;">6</div> Project funding <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;">a. Outright funds</td> <td style="text-align: right;">\$ _____</td> </tr> <tr> <td>b. Federal match</td> <td style="text-align: right;">\$ _____</td> </tr> <tr> <td>c. Total from NEH</td> <td style="text-align: right;">\$ _____</td> </tr> <tr> <td>d. Cost sharing</td> <td style="text-align: right;">\$ _____</td> </tr> <tr> <td>e. Total project costs</td> <td style="text-align: right;">\$ _____</td> </tr> </table>	a. Outright funds	\$ _____	b. Federal match	\$ _____	c. Total from NEH	\$ _____	d. Cost sharing	\$ _____	e. Total project costs	\$ _____
a. Outright funds	\$ _____										
b. Federal match	\$ _____										
c. Total from NEH	\$ _____										
d. Cost sharing	\$ _____										
e. Total project costs	\$ _____										
<div style="background-color: black; color: white; padding: 2px; font-weight: bold;">7</div> Field of project <div style="border-bottom: 1px solid black; width: 100px; margin-bottom: 5px;"></div> <div style="text-align: center; font-size: x-small;">(code)</div>	<div style="background-color: black; color: white; padding: 2px; font-weight: bold;">8</div> Descriptive title of project <div style="border-bottom: 1px solid black; height: 40px;"></div>										
<div style="background-color: black; color: white; padding: 2px; font-weight: bold;">9</div> Description of project (do not exceed space provided) <div style="border-bottom: 1px solid black; height: 40px;"></div>											

10	Will this proposal be submitted to another government agency or private entity for funding? (If yes, indicate where and when)	
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11 Institutional Data a. Institution or organization: _____ <div style="text-align: center;">(name)</div> <hr/> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%; text-align: center;">(city)</div> <div style="width: 45%; text-align: center;">(state)</div> </div> b. Employer identification number: _____ c. Name of authorizing official: _____ <div style="display: flex; justify-content: space-between;"> <div style="width: 30%; text-align: center;">(last)</div> <div style="width: 30%; text-align: center;">(first)</div> <div style="width: 30%; text-align: center;">(initial)</div> </div> <hr/> <div style="text-align: center;">(title)</div>	d. Name and mailing address of institutional grant administrator: _____ <div style="display: flex; justify-content: space-between;"> <div style="width: 30%; text-align: center;">(last)</div> <div style="width: 30%; text-align: center;">(first)</div> <div style="width: 30%; text-align: center;">(initial)</div> </div> <hr/> <div style="display: flex; justify-content: space-between;"> <div style="width: 30%; text-align: center;">(city)</div> <div style="width: 30%; text-align: center;">(state)</div> <div style="width: 30%; text-align: center;">(zip code)</div> </div> <hr/> Telephone: _____ / _____ Form of Address: _____ <div style="text-align: center;">(area code)</div> FAX: _____ / _____ email: _____ <div style="text-align: center;">(area code)</div>
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12 Certification. By signing and submitting this application, the authorizing official of the applicant institution (block 11c) is providing the applicable certifications regarding the nondiscrimination statutes and implementing regulations, federal debt status, debarment and suspension, and a drug-free workplace as set forth in the appendix to these guidelines.

_____/_____/_____
 (printed name) (signature) (date)

NOTE: Federal law provides criminal penalties of up to \$10,000 or imprisonment of up to five years, or both for knowingly providing false information to an agency of the U.S. government. 18 U.S.C. Section 1001

For NEH use only: Date Received:

Application #:

Initials

Field of Project Categories and Codes

The following categories and codes should be used to complete block 7 of the NEH Application Cover Sheet. If no exactly appropriate category is provided, please select the larger category that would include the more precise one. (This listing is strictly for use by the NEH staff to help retrieve information about applications and grants by subject matter. The listing is not comprehensive and is not meant to define the disciplines of the humanities.)

Anthropology	L1	Languages	C1
Archaeology	U6	Ancient	CC
		Asian	CA
Archival Manage- ment/ Conservation	I1	Classical	C2
		Comparative	C9
Arts/History and Criticism	MA	English	CE
Architecture: History & Criticism	U3	French	C3
Art: History & Criticism	M1	German	C4
Dance: History & Criticism	M3	Italian	C5
Film: History & Criticism	M4	Latin American	C6
Music: History & Criticism	M5	Near Eastern	CB
Theater: History & Criticism	M2	Slavic	C7
		Spanish	C8
Communications	P2	Law/Jurisprudence	Q1
Composition & Rhetoric	P1	Library Science	H3
Journalism	P4	Linguistics	J1
Media	P3		
Education	H1	Literature	D1
		African	DK
Ethnic Studies	K1	American	DE
Asian American	K5	Ancient	DC
Black/African-American	K4	Asian	DA
Hispanic American	K3	British	DD
Jewish	K6	Classical	D2
Native American	K2	Comparative	D9
		French	D3
History	A1	German	D4
African	A2	Italian	D5
American	A3	Latin American	D6
Ancient	AC	Literary Criticism	DI
British	A4	Near Eastern	DB
Classical	A5	Slavic	D7
European	A6	Spanish	D8
Far Eastern	A7		
Latin American	A8	Museum Studies/Historic Preservation	I2
Near Eastern	A9		
Russian	AA	Philosophy	B1
South Asian	AB	Aesthetics	B2
		Epistemology	B3
Humanities	U8	Ethics	B4
		History of Philosophy	B5
Interdisciplinary	U1	Logic	B6
African Studies	G1	Metaphysics	B7
American Studies	G3	Non-Western Philosophy	B8
Area Studies	GH		
Asian Studies	G5	Religion	E1
Classics	G7	Comparative Religion	E5
Folklore/Folklife	R1	History of Religion	E2
History/Philosophy of Science, Technology, or Medicine	GA	Non-Western Religion	E4
International Studies	GG	Philosophy of Religion	E3
Labor Studies	G4		
Latin American Studies	GJ	Social Science	U2
Medieval Studies	G8	American Government	F2
Regional Studies	GF	Economics	N1
Renaissance Studies	G9	Geography	U7
Rural Studies	GC	International Relations	F3
Urban Studies	G2	Political Science	F1
Western Civilization	GB	Psychology	U5
Women's Studies	G1	Public Administration	F4
		Sociology	S1

BUDGET INFORMATION, INSTRUCTIONS, AND FORM

Project Budget

The Budget Form and instructions for completing it follow.

Type of Grant Support

Extending the Reach: Institutional Grants are outright funds awarded by the Endowment to support the approved project. These funds are not contingent on additional fund-raising by the grantee.

Cost sharing is encouraged but not required on Extending the Reach: Institutional Grants. Cost sharing consists of the cash contributions made to the project by the applicant and third parties, as well as third-party in-kind contributions, such as donated services and goods.

Grant Period

Extending the Reach: Institutional Grants may support activities up to three years. The grant period encompasses the entire period for which Endowment support is requested. All project activities and the expenditure of project funds must occur during the grant period.

National Endowment for the Humanities

BUDGET INSTRUCTIONS

Before developing a project budget, applicants should review those sections of the program guidelines and application instructions that discuss cost-sharing requirements, the different kinds of Endowment funding, limitations on the length of the grant period, and any restrictions on the types of costs that may appear in the project budget.

Requested Grant Period

Grant Periods begin on the first day of the month and end on the last day of the month. All project activities must take place during the requested grant period.

Project Costs

The budget should include the project costs that will be charged to grant funds as well as those that will be supported by applicant or third-party cash and in-kind contributions/cost sharing.

All of the items listed, whether supported by grant funds or cost-sharing contributions, must be reasonable, necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period. Charges to the project for items such as salaries, fringe benefits, travel, and contractual services must conform to the written policies and established practices of the applicant organization.

When indirect costs are charged to the project, care should be taken that expenses that are included in the organization's indirect cost pool (see Indirect Costs) are not charged to the project as direct costs.

Fringe Benefits

Fringe benefits may include contributions for social security, employee insurance, pension plans, etc. Only those benefits that are not included in an organization's indirect cost pool may be shown as direct costs.

Travel Costs

The lowest available commercial fares for coach or equivalent accommodations must be used and foreign travel must be undertaken on U.S. flag carriers when such services are available.

Equipment

Only when an applicant can demonstrate that the purchase of permanent equipment will be less expensive than rental may charges be made to the project for such purchases. Permanent equipment is defined as nonexpendable

personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more.

Services

The costs of project activities to be undertaken by a third-party contractor should be included in this category as a single line item charge. A complete itemization of the cost comprising the charge should be attached to the NEH budget. If there is more than one contractor, each must be budgeted separately on the NEH form and must have an attached itemization.

Indirect Costs (Overhead)

These are costs that are incurred for common or joint objectives and therefore cannot be readily identified with a specific project or activity of an organization. Typical examples of indirect cost type items are the salaries of executive officers, the costs of operating and maintaining facilities, local telephone service, office supplies, and accounting and legal services.

Indirect costs are computed by applying a negotiated indirect cost rate to a distribution base (usually the direct costs of the project). Organizations that wish to include overhead charges in the budget but do not have a current federally negotiated indirect cost rate or have not submitted a pending indirect cost proposal to a federal agency may choose one of the following options.

1. The Endowment will not require the formal negotiation of an indirect cost rate, provided the charge for indirect costs does not exceed 10 percent of direct costs, less distorting items (e.g., capital expenditures, major subcontracts), up to a maximum charge to the project of \$5,000 per year. (Applicants who choose this option should understand that they must maintain documentation to support overhead charges claimed as part of project costs).

2. If your organization wishes to use a rate higher than 10 percent or claim more than \$5,000 in indirect costs per year, an estimate of the indirect cost rate and the charges should be provided on the budget form. If the application is approved for funding, you will be instructed to contact the NEH Office of Inspector General to develop an indirect cost proposal.

SAMPLE BUDGET COMPUTATIONS

					NEH Funds	Cost Sharing	Total
					(a)	(b)	(c)
Salaries and Wages							
Jane Doe/Project Director	[]	9 months x 100% @ \$40,000/academic yr.			\$20,000	\$20,000	\$40,000
Jane Doe	[]	1 summer month x 100% @ \$3,000			\$ 3,000		\$ 3,000
John Smith/Research Assistant	[]	6 months x 50% @ \$30,000/yr.			\$ 7,500		\$ 7,500
Secretarial Support	[]	3 months x 100% @ \$20,000/yr.			\$ 5,000		\$ 5,000
Fringe Benefits							
15% of \$50,500					\$ 4,775	\$ 2,800	\$ 7,575
10% of \$ 5,000					\$ 500		\$ 500
Travel							
	no. of persons	total travel days	subsistence costs	transport. costs =			
New York City/Chicago	[2]	[4]	\$800	\$600	\$ 1,400		\$ 1,400
Various/Washington D.C. conf.	[5]	[10]	\$750	\$500	\$ 1,250		\$ 1,250
Consultant Fees							
Epistemologist	5 days	@ \$100/day			\$ 500		\$ 500
Services							
Long Distance Telephone	est. 40 toll calls	@ \$3.00			\$ 120		\$ 120
Conference Brochure	50 copies	@ \$3.50/copy			\$ 175		\$ 175
TOTAL DIRECT COSTS					\$44,220	\$22,800	\$67,020
Indirect Costs							
20% of \$67,020					\$ 8,850	\$ 4,554	\$13,404
TOTAL PROJECT COSTS (Direct and Indirect)					\$53,070	\$27,354	\$80,424

National Endowment for the Humanities
BUDGET FORM

OMB No. 3136-0134
Expires 6/30/03

Project Director	If this is a revised budget, indicate the NEH application/grant number:
Applicant Organization	Requested Grant Period FROM _____ THRU _____ mo/yr mo/yr

The three-column budget has been developed for the convenience of those applicants who wish to identify the project costs that will be charged to NEH funds and those that will be cost shared. **FOR NEH PURPOSES, THE ONLY COLUMN THAT NEEDS TO BE COMPLETED IS COLUMN C.** The method of cost computation should clearly indicate how the total charge for each budget item was determined. If more space is needed for any budget category, please follow the budget format on a separate sheet of paper.

When the requested grant period is eighteen months or longer, separate budgets for each twelve-month period of the project must be developed on duplicated copies of the budget form.

SECTION A - budget detail for the period FROM _____ THRU _____
mo/yr mo/yr

1. Salaries and Wages. Provide the names and titles of principal project personnel. For support staff, include the title of each position and indicate in brackets the number of persons who will be employed in that capacity. For persons employed on an academic year basis, list separately any salary charge for work done outside the academic year.

name/title of position	no.	method of cost computation (see sample)	NEH Funds (a)	Cost Sharing (b)	Total (c)
_____	[]	_____	\$ _____	\$ _____	\$ _____
_____	[]	_____	_____	_____	_____
_____	[]	_____	_____	_____	_____
_____	[]	_____	_____	_____	_____
_____	[]	_____	_____	_____	_____
_____	[]	_____	_____	_____	_____
_____	[]	_____	_____	_____	_____
SUBTOTAL			\$ _____	\$ _____	\$ _____

2. Fringe Benefits. If more than one rate is used, list each rate and salary base.

rate	salary base	(a)	(b)	(c)
_____ % of	\$ _____	\$ _____	\$ _____	\$ _____
_____ % of	\$ _____	_____	_____	_____
SUBTOTAL		\$ _____	\$ _____	\$ _____

3. Consultant Fees. Include payments for professional and technical consultants and honoraria.

name or type of consultant	no. of days on project	daily rate of compensation	(a)	(b)	(c)
_____	_____	\$ _____	\$ _____	\$ _____	\$ _____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
SUBTOTAL			\$ _____	\$ _____	\$ _____

4. Travel. For each trip, indicate the number of persons traveling, the total days they will be in travel status, and the total subsistence and transportation costs for that trip. When a project will involve the travel of a number of people to a conference, institute, etc., these costs may be summarized on one line by indicating the point of origin as "various." All foreign travel must be listed separately.

from/to	no. persons	total travel days	subsistence costs	+	transportation costs	=	NEH Funds (a)	Cost Sharing (b)	Total (c)
_____	[]	[]	\$ _____		\$ _____		\$ _____	\$ _____	\$ _____
_____	[]	[]	_____		_____		_____	_____	_____
_____	[]	[]	_____		_____		_____	_____	_____
_____	[]	[]	_____		_____		_____	_____	_____
_____	[]	[]	_____		_____		_____	_____	_____
_____	[]	[]	_____		_____		_____	_____	_____
_____	[]	[]	_____		_____		_____	_____	_____
SUBTOTAL							\$ _____	\$ _____	\$ _____

5. Supplies and Materials. Include consumable supplies, materials to be used in the project and items of expendable equipment; i.e., equipment items costing less than \$5,000 and with an estimated useful life of less than one year.

item	basis/method of cost computation	(a)	(b)	(c)
_____	_____	\$ _____	\$ _____	\$ _____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
SUBTOTAL		\$ _____	\$ _____	\$ _____

6. Services. Include the cost of duplication and printing, long distance telephone, equipment rental, postage, and other services related to project objectives that are not included under other budget categories or in the indirect cost pool. For subcontracts provide an itemization of subcontract costs on this form or on an attachment.

item	basis/method of cost computation	(a)	(b)	(c)
_____	_____	\$ _____	\$ _____	\$ _____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
SUBTOTAL		\$ _____	\$ _____	\$ _____

7. Other Costs. Include participant stipends and room and board, equipment purchases, and other items not previously listed. Please note that “miscellaneous” and “contingency” are not acceptable budget categories. Refer to the budget instructions for the restriction on the purchase of permanent equipment.

item	basis/method of cost computation	NEH Funds (a)	Cost Sharing (b)	Total (c)
_____	_____	\$ _____	\$ _____	\$ _____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
	SUBTOTAL	\$ _____	\$ _____	\$ _____
8. Total Direct Costs (add subtotals of items 1 through 7)		\$	\$	\$

9. Indirect Costs (This budget item applies only to institutional applicants.)

If indirect costs are to be charged to this project, **CHECK THE APPROPRIATE BOX BELOW** and provide the information requested. Refer to the budget instructions for explanations of these options.

- ☐ Current indirect cost rate(s) has/have been negotiated with federal agency. (Complete items A and B.)
- ☐ Indirect cost proposal has been submitted to a federal agency but not yet negotiated. (Indicate the name of the agency in item A and show proposed rate(s) and base(s), and the amount(s) of indirect costs in item B.)
- ☐ Indirect cost proposal will be sent to NEH if application is funded. (Provide an estimate in item B of the rate that will be used and indicate the base against which it will be charged and the amount of indirect costs.)
- ☐ Applicant chooses to use a rate not to exceed 10% of direct costs, less distorting items, up to a maximum charge of \$5,000 per year. (Under item B, enter the proposed rate, the base against which the rate will be charged, and the computation of indirect costs or \$5,000, whichever sum is less.)

A.	<hr/>		<hr/>		
	name of federal agency		date of agreement		
B.			NEH Funds	Cost Sharing	Total
	rate(s)	base(s)	(a)	(b)	(c)
	<hr/> % of	\$ <hr/>	\$ <hr/>	\$ <hr/>	\$ <hr/>
	<hr/> % of	\$ <hr/>	<hr/>	<hr/>	<hr/>
	TOTAL INDIRECT COSTS		\$ <hr/>	\$ <hr/>	\$ <hr/>
0. Total Project Costs (direct and indirect) for Budget Period			\$ <hr/>	\$ <hr/>	\$ <hr/>

SECTION B - Summary Budget and Project Funding**SUMMARY BUDGET**

Transfer from section A the total costs (column c) for each category of project expense. When the proposed grant period is eighteen months or longer, project expenses for each twelve-month period are to be listed separately and totaled in the last column of the summary budget. For projects that will run less than eighteen months, only the last column of the summary budget should be completed.

Budget Categories	First Year/ from: thru:	Second Year/ from: thru:	Third Year/ from: thru:	TOTAL COSTS FOR ENTIRE GRANT PERIOD
1. Salaries and Wages	\$ _____	\$ _____	\$ _____	= \$ _____
2. Fringe Benefits	_____	_____	_____	= _____
3. Consultant Fees	_____	_____	_____	= _____
4. Travel	_____	_____	_____	= _____
5. Supplies and Materials	_____	_____	_____	= _____
6. Services	_____	_____	_____	= _____
7. Other Costs	_____	_____	_____	= _____
8. Total Direct Costs (items 1-7)	\$ _____	\$ _____	\$ _____	= \$ _____
9. Indirect Costs	\$ _____	\$ _____	\$ _____	= \$ _____
10. Total Project Costs (Direct & Indirect)	\$ _____	\$ _____	\$ _____	= \$ _____

PROJECT FUNDING FOR ENTIRE GRANT PERIOD

I. Requested from NEH:		II. Cost Sharing:¹	
Outright	\$ _____	A. Third-Party Contributions	\$ _____
Federal Matching	\$ _____	B. Applicant's Contributions	\$ _____
TOTAL NEH FUNDING	\$ _____	TOTAL COST SHARING	\$ _____
		III. Funding from Other Federal Agencies:	\$ _____
		TOTAL COST SHARING AND FUNDING FROM OTHER FEDERAL AGENCIES (II + III)	\$ _____

Total Project Funding (Total of I + II + III)² = \$ _____

¹ Under Cost Sharing, line II.A. should indicate the amount of contributions to be made by third parties (including any third-party cash gifts that will be raised to release federal matching funds). On line II.B., indicate the amount that will be contributed to the project by the applicant institution. NOTE that the Endowment's cost-sharing expectations may be met either through contributions from third parties or the institution's own resources.

² Total Project Funding should equal Total Project Costs.

Institutional Grant Administrator/Individual Applicant. Provide the information requested below when a revised budget is submitted. The signature of this person indicates approval of the budget submission and the agreement of the organization/individual to cost share project expenses at the level indicated under "Project Funding."

Name and Title (please type or print) Telephone (_____) _____

Signature Date _____

EXTENDING THE REACH: INSTITUTIONAL GRANTS

INSTITUTIONAL FACT SHEET

INSTITUTION: _____

FEDERAL DESIGNATION (CHECK ONE):

_____ HBCU

_____ HSI

_____ TCU

NUMBER OF FACULTY

% IN HUMANITIES

F/T TENURED

F/T NON-TENURED

P/T

ENROLLMENT

UNDERGRADUATE

GRADUATE

F/T _____

F/T _____

P/T _____

P/T _____

% MAJORING IN HUMANITIES _____

% MAJORING IN HUMANITIES _____

COURSE OFFERINGS

UNDERGRADUATE

GRADUATE

% IN HUMANITIES _____

% IN HUMANITIES _____

LIBRARY

HOLDINGS (# TEXTS; NON-TEXT RESOURCES) :

% HOLDINGS IN HUMANITIES _____

OTHER RELEVANT INSTITUTIONAL HUMANITIES RESOURCES (SUMMARY LIST)

APPENDIX

Certification Instructions

Certifications. In submitting an application to NEH, all applicants are required to certify (by signing the certification block of the application cover sheet) that they are not presently debarred, suspended, declared ineligible, or voluntarily excluded from participating in federally funded programs; are not currently delinquent in the payment of a federal debt; and, if the project is funded by NEH, will have a drug-free workplace program in place within thirty (30) days of the issuance of an award. Institutional applicants must further certify that they are in compliance with the nondiscrimination statutes and NEH's implementing regulations.

These certifications are material representations of fact upon which the Endowment will rely in making funding decisions. If it is later determined that the applicant knowingly provided an erroneous certification or did not comply with the requirements, the Endowment may seek judicial enforcement of the certification or may suspend or terminate the award.

Applicants who cannot certify regarding compliance with the nondiscrimination statutes or the establishment of a drug-free workplace program are not eligible to apply for funding from NEH. Although applicants who are unable to certify regarding federal debt status or debarment and suspension are technically eligible to submit an application to NEH as long as they provide a written explanation of their status, they are advised to discuss their particular situation with program staff before beginning work on their proposal.

Applicants who plan to use awards to fund subgrants, contracts, and subcontracts should be aware that they must receive the following certifications from applicants to grant programs and those who bid on contracts:

- (1) certification of compliance with the nondiscrimination statutes from institutional applicants and contractors, and
- (2) certification regarding lobbying from those requesting in excess of \$100,000 in grant funds, and
- (3) certification regarding debarment and suspension from applicants to grant programs (regardless of the amount requested) and from potential contractors and subcontractors who will receive \$100,000 or more in grant funds. Applicants are also required to include without modification the following wording in solicitations for all grant proposals and for contracts that are expected to equal or exceed \$100,000:

(a) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.

(b) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Additional information on the certification requirements is available on the NEH web site, <http://www.neh.gov>, or from the NEH Grants Office, Room 311, Washington, D.C. 20506 (202/606-8494).

The text of the certifications follows:

1. Certification Regarding the Nondiscrimination Statutes and Implementing Regulations (Applies to Recipients Other than Individuals). The applicant certifies that it will comply with the following nondiscrimination statutes and their implementing regulations: (a) Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq.) which provides that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant received federal financial assistance; (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving federal financial assistance; (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681 et seq.) which prohibits discrimination on the basis of sex in education programs and activities receiving federal financial assistance; and (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101 et seq.) which prohibits discrimination on the basis of age in programs and activities receiving federal financial assistance, except that actions which reasonably take age into account as a factor necessary for the normal operation or achievement of any statutory objective of the project or activity shall not violate this statute.

2. Certification Regarding Federal Debt Status. The applicant certifies to the best of its knowledge and belief, that it is not delinquent in the repayment of any federal debt.

3. Certification Regarding Debarment and Suspension (45 CFR 1169). The prospective primary participant (applicant) certifies to the best of its knowledge and belief that it and its principals: (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency; (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and (d) have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state, or local) terminated for cause or default.

4. Certification Regarding Drug-Free Workplace Requirements (Drug-Free Workplace Act of 1988).

(A) The grantee certifies that it will provide a drug-free workplace by

- (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibitions;
- (b) establishing an ongoing drug-free awareness program to inform employees about (1) the dangers of drug abuse in the workplace; (2) the grantee's policy of maintaining a drug-free workplace; (3) any available drug counseling, rehabilitation, and employee assistance programs; and (4) the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;
- (c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will (1) abide by the terms of the statement; and (2) notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;
- (e) notifying the agency in writing within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;
- (f) taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted: (1) taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended; or (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency;
- (g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

(B) The applicant shall either identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

Customer Service Standards

In assisting you as a prospective applicant, you can expect us to:

- o respond courteously and quickly to your requests for information about our grant programs;
- o be able to describe the programs that best suit your needs;
- o provide application instructions and forms that are clear and easy to use;
- o offer prompt and thoughtful advice and guidance in preparing your application;
- o explain accurately the procedures that would be used to evaluate your application and tell you when you could expect a decision.

In assisting you as an applicant, you can expect us to:

- o ensure that the evaluation of your application is fair, expeditious, and informed by the expert judgments of your peers;
- o notify you promptly of the decision on your application;
- o provide substantive reasons for the decision reached on your application;
- o give you helpful advice, if you are unsuccessful, on revising or resubmitting your application.

In assisting you as a grantee, you can expect us to:

- o provide you with an award document that is clear and easy to understand and that sets forth sensible reporting requirements;
- o provide the names of our staff members who will serve as contacts for your reports and for any assistance you may need;
- o answer promptly and satisfactorily all requests for information on NEH policies and procedures;
- o read and acknowledge promptly your reports on grant activities;
- o maintain a professional, helpful relationship with you as you carry your project to completion.

APPLICATION CHECKLIST

- _____ 1. Ten copies (one original plus nine duplicates) of the application package, each copy including, in this order,
- _____ a) the NEH Application Cover Sheet (original signed by authorizing official);
 - _____ b) one-page institutional fact sheet*;
 - _____ c) the narrative proposal (not to exceed eight typed, double-spaced pages);
 - _____ d) budget form**;
 - _____ e) project director's résumé;
 - _____ f) appendices.
- _____ 2. A set, clipped together, of one additional copy of the following:
- NEH Application Cover Sheet
 - Institutional Fact Summary
- _____ 3. A copy of the current college/university catalog

* Please use the form provided on page 23

* *Please use the form provided on page 17

NEH will not accept applications sent by FAX machine or electronic mail.

Send applications to:

Extending the Reach: Institutional Grants
Office of Challenge Grants
National Endowment for the Humanities
1100 Pennsylvania Avenue, N.W. , Room 420
Washington, DC 20506

EQUAL

OPPORTUNITY

STATEMENT

Endowment programs do not discriminate on the basis of race, color, national origin, sex, disability, or age. For further information, write to Equal Employment Opportunity Officer, National Endowment for the Humanities, 1100 Pennsylvania Avenue, N.W., Washington, DC 20506. TDD: 202/606-8282 (this is a special Telephone Device for the Deaf).